



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
2 NAVY ANNEX
WASHINGTON, DC 20380-1775

IN REPLY REFER TO:

5527

ARS

OCT 04 2010

Security Note 06-10

From: Director, Administration and Resource Management Division
To: Security Coordinators

Subj: PRELIMINARY INQUIRY PROCEDURES FOR THE LOSS, COMPROMISE
AND MISHANDLING OF CLASSIFIED MATERIAL

Ref: (a) SECNAV M-5510.36
(b) HQM IPSP SOP

Encl: (1) PI Appointment Letter
(2) PI Letter Format

1. In accordance with reference (a), the following is provided as amplifying guidance for the conduct of a Preliminary Inquiry (PI) here at Headquarters Marine Corps (HQMC). These procedures will be incorporated into reference (b) during the next revision. The procedures are as follows:

a. Deputy Commandant's/Director of Staff Agencies/Activities will appoint in writing an official (other than the security coordinator or anyone involved with the incident) to conduct the PI. This individual shall have a security clearance eligibility and access commensurate to the classification level of the information involved. Enclosure (1) is an example of the PI Appointment Letter. A copy of the appointment letter will be provided to Director, Administration and Resource Management Division (DirAR) (ARS).

b. The PI shall be initiated and completed within **72 hours** upon initial discovery of the incident, as directed by reference (a). If circumstances exist that would delay the completion of the PI within 72 hours, notify the HQMC Security Manager, immediately, for an extension.

c. Every effort should be made to keep the PI unclassified. The PI shall completely and accurately identify the classified information, material and/or equipment lost or compromised. This identification shall include the information's unclassified subject or title, classification of the information (including any relevant warning notices or intelligence control markings, downgrading and declassification instructions) serial numbers, the date of the information, the originator, the Original

Subj: PRELIMINARY INQUIRY PROCEDURES FOR THE LOSS, COMPROMISE
AND MISHANDLING OF CLASSIFIED MATERIAL

Classification Authority (OCA), the number of pages or amount of material involved, a point of contact from the command, along with telephone number of the custodial command. Enclosure (2) is an example of the PI Letter Format.

d. Upon conclusion of the PI, it will be endorsed and forwarded to the DirAR, (ARS) by the Deputy Commandant/Director Staff Agency/Activity, stating the concurrence or nonoccurrence with the recommendations of the PI and if additional action is warranted.

e. DirAR, (ARS) will review the PI, carefully considering the circumstances surrounding the loss or compromise, and provide additional guidance as needed to the Staff Agency/Activity. Additionally, when circumstances meet the criteria for suspension of access as mentioned in reference (a), the recommendation for suspension will be forwarded from the Staff Agency/Activity to the DirAR for final decision.

f. A copy of the PI will be provided to the Commanding Officer, Headquarters and Service Battalion, HQMC, Henderson Hall to determine if disciplinary actions are warranted.

2. Questions regarding this Security Note should be directed to the HQMC Security Manager, at (703) 614-2320.


R. J. GEBERTH
By direction



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
2 NAVY ANNEX
WASHINGTON, DC 20380-1775

IN REPLY REFER TO:

5527

XXX

Date

From: Deputy Commandant/Director, Staff Agency/Activity Name
To: Investigating Official

Subj: INVESTIGATION OF THE LOSS OR COMPROMISE OF CLASSIFIED
INFORMATION THAT OCCURRED AT HEADQUARTERS U.S. MARINE
CORPS, STAFF AGENCY NAME ON DATE OF INCIDENT

Ref: (a) SECNAV M-5510.36

1. Per the reference (Chapter 12), you are appointed to conduct a preliminary inquiry as soon as practical into circumstances surrounding the possible compromise of classified information that occurred at Staff Agency/Activity Name on Date of Incident.

2. You are to investigate all the facts, circumstances and the cause of possible compromise and provide identification of all compromised information and any potential impact on national security. You should recommend appropriate administrative or disciplinary action(s). Particular attention should be given to Chapter 12, paragraph 12-5 of reference (a).

3. Report your findings of fact, opinions, and recommendations by _____, unless an extension of time is granted.

4. This appointment will remain in effect until you are formally relieved. By return endorsement, you will indicate that you have assumed the duties associated with this appointment.

Signature

FIRST ENDORSEMENT

From: Investigating Official
To: Deputy Commandant/Director, Staff Agency/Activity Name

1. I have assumed the duties outlined in the basic letter and have familiarized myself with Chapter 12 of the reference.

Signature

Enclosure (1)



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
2 NAVY ANNEX
WASHINGTON, DC 20380-1775

IN REPLY REFER TO:

5527

XXX

Date

From: Investigating Official
To: Deputy Commandant/Director, Staff Agency/Activity
Appointed By

Subj: PRELIMINARY INQUIRY (PI)

Ref: (a) SECNAV M-5510.36

Encl: (1) (If any)

1. INCIDENT: Per reference (a), on Date of the Incident a PI was conducted into the possible loss or compromise of classified information at Location of the Incident.

2. STATEMENT OF FACTS:

a. IDENTIFICATION OF INFORMATION OR EQUIPMENT LOST OR COMPROMISED:

(1) CLASSIFICATION:

(2) IDENTIFICATION/SERIAL NO(S):

(3) DATE:

(4) ORIGINATOR:

(5) OCA(S):

(6) SUBJECT OR TITLE:

(7) DOWNGRADING/DECLASSIFICATION INSTRUCTIONS:

(8) NUMBER OF PAGES OR ITEMS OF EQUIPMENT INVOLVED:

(a) PAGES:

(b) EQUIPMENT:

(9) COMMAND POINT OF CONTACT AND PHONE NUMBER

Enclosure (2)

Subj: PRELIMINARY INQUIRY (PI)

(10) UIC CUSTODIAL COMMAND: 54008.

b. ASSESSMENT OF LIKELIHOOD OF LOSS OR COMPROMISE:

c. NOTIFICATION OF LOCAL NCIS OFFICE:

d. CIRCUMSTANCES SURROUNDING THE INCIDENT:

(1) NARRATIVE:

(2) INTERVIEWS CONDUCTED:

e. INDIVIDUALS RESPONSIBLE: (If any)

f. PUNITIVE DISCIPLINARY ACTIONS TAKEN: (If any)

g. DETERMINATION OF SECURITY WEAKNESS(ES) OR
VULNERABILITY(IES)

3. CONCLUSION:

4. CORRECTIVE MEASURES TAKEN AS A RESULT OF THE INCIDENT:

a.

b.

5. FURTHER ACTION: No further action is required.

SIGNATURE

Copy to:
(As required)

Enclosure (2)